

CLAIMS

1 1. A method for automating trade settlements, comprising:
2 providing a host system or systems with a distributed relational
3 database accessible and updateable by more than one party to a cross border
4 transaction:
5 caching a client's standing settlement instructions in a client profile in
6 the distributed relational database;
7 monitoring messages of a selected trade settlement client; and
8 assigning a unique transaction identifier of a trade settlement for
9 messages that include an execution file or a settlement of a trade.

1 2. The method of claim 1, further comprising:
2 receiving at the host system (or systems) an execution file that includes
3 trade settlement parameters; and
4 matching messages of the selected trade settlement process using the
5 information in the execution file and the standing instruction parameters and
6 adding said messages to the logical transaction workflow

1 3. The method of claim 2, further comprising:
2 marking matched messages with the transaction identifier; and
3 storing the marked traffic in the distributed relational database as part
4 of a logical transaction for a trade settlement.

1 4. The method of claim 1, wherein the monitoring is done by an
2 electronic file transfer.

1 5. The method of claim 4, wherein the electronic file transfer is from a
2 client's computer network to the host network system.

1 6. The method of claim 4, wherein the monitoring is done with a
2 standard web browser.

1 7. The method of claim 1, wherein the client standing instructions
2 include instructions for executing a trade including, but not limited to
3 clearing methods, name of correspondent banks, sub agent or sub custodian,
4 name of sub agent, client tax identification number, and account type.

1 8. The method of claim 1, wherein the execution file includes
2 information about a specific trade, including, but not limited to, payment
3 currency, client name, trade date, settlement date, security name, security
4 type, and security code.

1 9. A method for automating trade settlements, comprising:
2 providing a host system with a distributed relational database accessible
3 and updateable by more than one party to a cross border transaction;
4 receiving a copy of an execution file from a broker dealer to a global
5 custodian;
6 assigning a unique logical transaction number to a settlement detailed
7 in the execution file;
8 examining a profile database of the global custodian for the standing
9 instructions from asset managers originating the trade;
10 monitoring traffic at the global custodian;
11 matching messages to the logical transaction process based upon
12 content, their implicit relationship to the settlement detailed in the execution
13 file, and the global custodian's standing instructions;
14 updating the settlement in the workflow database, indicating the state of
15 the settlement;
16 firing any conditional workflow related triggers related to time/content,
17 based upon the global custodian's profile database entry;
18 allowing the global custodian to interrogate the workflow database to
19 determine the current state of the settlement transaction.

1 10. A method for automating corporate action information
2 process, comprising:

3 providing a host system with a distributed relational database accessible
 4 and updateable by more than one party to a cross border transaction;
 5 receiving information from an issuers agent and prospective investors at
 6 the host system; and
 7 distributing the received information to issue holders.

1 11. A method for automating a corporate action process,
 2 comprising:
 3 providing a host system with a distributed relational database accessible
 4 and updateable by more than one party to a cross border transaction;
 5 receiving an issue holder's position and entitlement information from
 6 an issuer's agent and at least one stock exchange or a stock depository at the
 7 host system; and
 8 simultaneously sending the issue holder's position and entitlement
 9 information to all participants in a reconciliation process.

1 12. The method of claim 11, further comprising:
 2 sending reconciliation information relating to the issue holder's
 3 position and entitlement to the stock depository.

1 13. The method of claim 10, wherein the corporate action
 2 process is selected from reconciliation, billing, tender offers, splits,
 3 dividends, rights issues, cash or stock dividends and proxy.

1 14. A system for automating cross border transactions,
 2 comprising:
 3 a host system with a distributed relational database accessible and
 4 updateable by more than one party to a cross border transaction;
 5 at least one global custodian network coupled to the host system; and
 6 at least one sub-custodian coupled to the host system and the global
 7 custodian network.

1 15. The system of claim 14, further comprising:

1 16. The system of claim 15, further comprising:
2 at least one asset manager bank network coupled to the FX bank network
3 and the global custodian network.

1 17. The system of claim 14, wherein all data pertaining to one
2 logical transaction is stored in the distributed relational database.

1 18. The system of claim 14, wherein all participants in a trade or
2 settlement can track the progress of the trade or settlement with access to
3 the distributed relational database.

1 19. The system of claim 14, wherein the distributed relational
2 database includes firewalls that separate information specific to
3 subcustodians.

1 20. The system of claim 14, wherein the distributed relational
2 database includes details on the execution, audits, trade settlement, and
3 standing instructions for trade processing.

1 21. The system of claim 14, wherein each participant retains
2 specific information that pertains to knowledge it has at a selected time.

1 22. The system of claim 14, wherein subcustodians retain
2 information about all global custodians' omnibus accounts that they serve.

1 23. The system of claim 14, wherein global custodians retain
2 information about all the asset managers' accounts and broker dealers'
3 accounts that they serve.

1 24. The system of claim 14, wherein broker dealers retain
2 information about all the investors' accounts that they serve.

1 25. A method of improving bank to bank instructions between
2 financial institutions, comprising:
3 providing a host system with a distributed relational database accessible
4 and updateable by more than one financial institution; and
5 transmitting messages between financial institutions for payments,
6 foreign exchange, executions, settlements, or corporate actions providing
7 knowledge of the content and context of the messages as they are sent and
8 received, and identifying their relationship to a single trade or corporate
9 actions event.

1 26. A method for centralizing information required to settle a
2 global cross border transaction, comprising:
3 providing a host system with a distributed relational database accessible
4 and updateable by more than one party to a cross border transaction;
5 creating audit trails for cross border transactions utilizing the host
6 system.

1 27. The method of claim 26, wherein the host system provides a
2 secure virtual exchange that enables customized, integrated reporting of
3 trading positions, announcements, instructions, matches, recaps, updates,
4 reconciliation, and billing among other services.